ATTORNEY DOCKET NO.: 0341941-0031(HU 01431-97/BU 97-59)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Jarrell et al.

Serial No.:

(X)

Filed:

August 26, 1998

For:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS 37 CFR 1.9(f) and 1,27(d) NON-PROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

NAME OF ORGANIZATION: President and Fellows of Harvard College ADDRESS OF ORGANIZATION: 17 Quincy Street, Cambridge, MA 02138 TYPE OF ORGANIZATION:

University or other organization of higher education

` '	•
()	Non-profit scientific or educational organization under a statute of a state of the United States of America NAME OF STATE: CITATION OF STATUTE:
()	Would qualify as tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3) if the organization were located in the United States of America
()	Tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3).
()	Would qualify as a non-profit scientific or educational organization under a statute of a state of the United States of America NAME OF STATE: CITATION OF STATUTE:

I hereby declare that the above-identified non-profit organization qualifies as a non-profit organization as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code.

I hereby declare that rights under contract or law have been conveyed to and remain with the above-identified non-profit organization with regard to the invention titled:

TITLE: by:	Novel Transcriptional Regulators and Uses Therefor
INVENTOR(S): described in:	Kevin A. Jarrell, Samol Saha and Mark Ptashne
(X) U.S	specification filed herewith Patent Application Serial Number filed
() U.S	Patent Numberissued
concern, or organ invention are held business concern u *NOTE: Separat	e above-identified non-profit organization are not exclusive, each individual, ization having rights to the invention is listed below* and no rights to the by any person, other than the inventor(s), who could not qualify as a small under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e). the verified statements are required from each named person, concern, or g rights to the invention, averting to their status as small entities. (37 CFR
FULL NAME:	Trustees of Boston University
ADDRESS: () INDIVIDUAL	108 Bay State Road, Boston, MA 02215 () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION
FULL NAME: ADDRESS:	
() INDIVIDUAL	() SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION
FULL NAME;	
ADDRESS:	AND THE PROPERTY OF CANEGATION
() INDIVIDUAL	() SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION
resulting in loss of earliest of the issue	duty to file, in this application or patent, notification of any change in status entitlement to small entity status prior to paying, or at the time of paying, the nee fee or any maintenance fee due after the date on which status as a small appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code,

and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

TITLE IN ORGANIZATION:

ADDRESS OF PERSON SIGNING:

President and Fellows of Harvard College 17 Quincy Street, Cambridge, MA 02138

SIGNATURE: DS1.424761.1

JOYCE BRINTON, DIRECTOR OFFICE OF TECHNOLOGY & TRADEMARK LICENSING HARVARD UNIVERSITY



ATTORNEY DOCKET NO.: 0341941-0031(HU 01431-97/BU 97-59)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Serial No.: Jarrell et al.

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NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

VERIFIED STATEMENT (DECLARATION) **CLAIMING SMALL ENTITY STATUS** 37 CFR 1.9(f) and 1.27(d) NON-PROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

University or other organization of higher education

NAME OF ORGANIZATION:

Trustees of Boston University

ADDRESS OF ORGANIZATION: 147 Bay State Road, Boston, MA 02215

TYPE OF ORGANIZATION:

(X)

()	Non-profit scientific or educational organization under a statute of a state of the United States of America NAME OF STATE: CITATION OF STATUTE:
()	Would qualify as tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3) if the organization were located in the United States of America
()	Tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3).
()	Would qualify as a non-profit scientific or educational organization under a statute of a state of the United States of America NAME OF STATE: CITATION OF STATUTE:

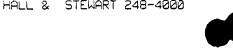
I hereby declare that the above-identified non-profit organization qualifies as a non-profit organization as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code.



TITLE: by:	Novel Transcriptional Regulators and Uses Therefor
INVENTOR(S described in:	S): Kevin A. Jarrell, Samol Saha and Mark Ptashne
() (X)	the specification filed herewith U.S. Patent Application Serial Number filed U.S. Patent Number issued
concern, or of invention are business conc	of the above-identified non-profit organization are not exclusive, each individual, organization having rights to the invention is listed below* and no rights to the held by any person, other than the inventor(s), who could not qualify as a small ern under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e). Separate verified statements are required from each named person, concern, or having rights to the invention, averring to their status as small entities. (37 CFR
FULL NAME ADDRESS: () INDIVIDU	17 Ouincy Street, Cambridge, M A 02138
FULL NAMI ADDRESS: () INDIVIDU	THE THE CONCERN () NON PROFIT ORGANIZATION
FULL NAMI ADDRESS: () INDIVIDI	THE SOLICEPIA () NON PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.





NAME OF PERSON SIGNING: TITLE IN ORGANIZATION:

ADDRESS OF PERSON SIGNING:

Matthew J. Burns

Assistant Treasurer

Trustees of Boston University

108 Bay State Road, Boston, MA 02215

DATE:

MATTHEW J. BURNS ASSISTANT TREASURER BOSTON UNIVERSITY

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

the specification of which (I authorize Choate, Hall & Stewart to check one of the following, three choices, and fill in the blanks, if applicable): is attached hereto was filed on _____ as Application
Serial No. ____ and amended on ____ (if applicable). X was filed as PCT international application No. PCT/US98/17691 on August 26, 1998 and was amended under PCT Article 19 ____ (if applicable). I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment referred to above. I acknowledged the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56. I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed: Priority Claimed Prior Foreign Application(s): (Day/Month/Year/Filed) (Country) (Number) (Day/Month/Year/Filed) (Country) (Number)

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America

Ľ. 12 FL. The that the THE REPORT listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this

filing date of the prior app application:	dication and the ma	inollal of 102 minutes
(Application Serial No.)	(filing date)	(status-patented, pending, abandoned)
PCT Applications designate	ting the United Sta	ites:
(PCT Appl. No.)	(U.S.S.N.)	(status-patented, pending, abandoned) 35, United States Code, §119(e) of any United States for on the subject matter of each of the claims of this
provisional application(s) application is not disclose paragraph of Title 35, Unwhich is material to paten became available between application.	listed below and, is d in the prior Unite ited States Code, § tability as defined the filing date of the filing date of the filing date.	as 35, Onlied States of states of each of the claims of this ansofar as the subject matter of each of the claims of this ed States application in the manner provided by the first 112, I acknowledge the duty to disclose information in Title 37, Code of Federal Regulations, §1.56 which the prior application and the national filing date of this
Provisional Application(s)		pending
60/056,857 Application Number	August 27, 1997 Filing Date	Status
Application Number	Filing Date	Status
statements made on infor- were made with the know	mation and belief a	nade herein of my own knowledge are true and that all are believed to be true; and further that these statements false statements and the like so made are punishable by a 1001 of Title 18 of the United State Code and that such validity of the application or any patents issued thereon.

100

Citizenship: U.S.A

Post Office Address: same

阿耳耳耳 工工工 医垂头轴 阿阿斯斯 人名

Full name of second inventor: Samol Saha	Date:
Inventor's signature:	
Residence: 24 Sunset Road, Arlington, MA 02474	
Citizenship: Swedish	
Post Office Address: same	
Full name of third inventor: Mark Ptashne	Date:
Inventor's signature:	Date
Residence: 1075 Park Avenue, New York, NY 10120	
Citizenship: U.S.A.	
Post Office Address: same	





DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

	of which (I authorid fill in the blanks,	ize Choate, Hall & Stewart to if applicable):	check or	ne of the following,
is	attached hereto	•		
was	filed on	as Application and amended on		(if applicable).
on Augus		ernational application No. PCT as amended under PCT Article (if applicable).		<u>7691</u> .
		viewed and understood the con as amended by any amendmen		
		disclose information which is Title 37, Code of Federal Reg		
foreign application below any foreign	on(s) for patent or i	ity benefits under Title 35, Un inventor's certificate listed bel atent or inventor's certificate l is claimed:	ow and l	have also identified
Prior Foreign Ap	oplication(s):	Priority Claime	ed	
(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America

HO.697



listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

аррисанов.		
(Application Serial No.)	(filing date)	(status-patented, pending, abandoned)
PCT Applications designa	ting the United Sta	tes:
(PCT Appl. No.)	(U.S.S.N.)	(status-patented, pending, abandoned)
provisional application(s) application is not disclose paragraph of Title 35, Un which is material to paten	listed below and, in d in the prior Unite ited States Code, § tability as defined	a 35, United States Code, §119(e) of any United States application in the manner provided by the first 112, I acknowledge the duty to disclose information in Title 37, Code of Federal Regulations, §1.56 which the prior application and the national filing date of this
Provisional Application(s)	:	
60/056,857	August 27, 1997	pending
Application Number	Filing Date	Status
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statements made on informations were made with the know fine or imprisonment, or leading to the state of the	nation and belief a rledge that willful f both, under Section	nade herein of my own knowledge are true and that all re believed to be true; and further that these statements false statements and the like so made are punishable by a 1001 of Title 18 of the United State Code and that such ralidity of the application or any patents issued thereon.
Full name of first invento	or: Kevin A. Jarre	11
Inventor's signature:		Date:
Residence: 3 Acorn Lan	e, Lincoln, MA 01	773
Citizenship: U.S.A.		
Post Office Address: _sar	ne	

DS1.424744.1





(MA	Full name of second inventor: Samol Saha	100/
200	Inventor's signature:	Date: <u>08-24-9</u>
	Residence: USA	
	Citizenship: SWEDI3H	121611 - 1 110 02/17/1
	Post Office Address: 24 SUNSET Rd.	ARLINGTOW, MA 024 14
		MA
	Full name of third inventor: Mark Ptashne	·
	Inventor's signature:	Date:
	Residence: 1075 Park Avenue, New York, NY 10120	0
	Citizenship: U.S.A.	
≈ .	Post Office Address: Same	

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

	nich (I authorize Choate, Hall & Stewart in the blanks, if applicable):	to check one of the following,
is attach	ned hereto	
	on as Application o and amended on	(if applicable).
	d as PCT international application No. Policy and was amended under PCT Arti (if applicable).	

I hereby state that I have reviewed and understood the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledged the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign A	pplication(s):	Priority Claimed			
(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No	
(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No	

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America



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	•	
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Full name of first inventor	or: Kevin A. Jarre	11
Inventor's signature:	····	Date:
Residence: 3 Acorn Lan	e, Lincoln, MA 01	773
Citizenship: U.S.A.		
Post Office Address: sar	ne	

Full name of second inventor: Samol Saha		
Inventor's signature:	Date:	
Residence: 24 Sunset Road, Arlington, MA 02474		
Citizenship: U.S.A.		
Post Office Address: Same		
Full name of third inventor:, Mark Ptashne		
Inventor's signature: Mul Tashe	Date:	
Residence: 1075 Park Avenue, New York, NY 10120		
Citizenship: U.S.A.		
Post Office Address: Same		
DS1.424744.1		